

06/04/01  
JC984 U.S. PTO

06-05-01

A

PTO/SB/05 (03-01)

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.:	1928.PC
	First Inventor:	Cao et al.
	Title:	Starch-Oil Composites For Use In Personal Care Applications
	Express Mail Label No.:	EL569393668US

JC997 U.S. PTO  
09/873505  
06/04/01

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents	<b>ADDRESS TO:</b> Commissioner for Patents Box Patent Application Washington, DC 20231																																										
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)] (Submit an original, and a duplicate for fee processing) 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages <u>19</u> ] (preferred arrangement set forth below) - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or computer program listing appendix - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets <u>    </u> ] 5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>2</u> ] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. Application Data Sheet. See 37 CFR 1.76	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies <b>ACCOMPANYING APPLICATION PARTS</b> 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 11. <input checked="" type="checkbox"/> English Translation Document (if applicable) 12. <input checked="" type="checkbox"/> Information Disclosure <input checked="" type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> Nonpublication Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input type="checkbox"/> Other _____ 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a Preliminary Amendment, or in an Application Data Sheet under 37 CFR 1.76: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-Part (CIP) of prior application No. <u>    </u> / <u>    </u> Prior application information: Examiner <u>    </u> Group/Art Unit: <u>    </u> For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an Oath or Declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying Continuation or Divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts. <b>19. CORRESPONDENCE ADDRESS</b> <input type="checkbox"/> Customer Number or Bar Code Label or <input checked="" type="checkbox"/> Correspondence address below (Insert Customer No. or Attach bar code label here) <table border="1"> <tr> <td>Name</td> <td colspan="5">Thomas F. Roland</td> </tr> <tr> <td>Address</td> <td colspan="5">NATIONAL STARCH AND CHEMICAL COMPANY</td> </tr> <tr> <td></td> <td colspan="5">10 Finderne Avenue</td> </tr> <tr> <td>City</td> <td>Bridgewater</td> <td>State</td> <td>New Jersey</td> <td>Zip Code</td> <td>08807-0500</td> </tr> <tr> <td>Country</td> <td>U.S.A.</td> <td>Telephone:</td> <td>908-685-5127</td> <td>Fax:</td> <td>908-707-3706</td> </tr> <tr> <td>Name (Print/Type)</td> <td colspan="2">Thomas F. Roland</td> <td colspan="2">Registration No. (Attorney/Agent)</td> <td>42,110</td> </tr> <tr> <td>Signature</td> <td colspan="2"><i>Thomas F. Roland</i></td> <td colspan="2">Date</td> <td>June 4, 2001</td> </tr> </table>	Name	Thomas F. Roland					Address	NATIONAL STARCH AND CHEMICAL COMPANY						10 Finderne Avenue					City	Bridgewater	State	New Jersey	Zip Code	08807-0500	Country	U.S.A.	Telephone:	908-685-5127	Fax:	908-707-3706	Name (Print/Type)	Thomas F. Roland		Registration No. (Attorney/Agent)		42,110	Signature	<i>Thomas F. Roland</i>		Date		June 4, 2001
Name	Thomas F. Roland																																										
Address	NATIONAL STARCH AND CHEMICAL COMPANY																																										
	10 Finderne Avenue																																										
City	Bridgewater	State	New Jersey	Zip Code	08807-0500																																						
Country	U.S.A.	Telephone:	908-685-5127	Fax:	908-707-3706																																						
Name (Print/Type)	Thomas F. Roland		Registration No. (Attorney/Agent)		42,110																																						
Signature	<i>Thomas F. Roland</i>		Date		June 4, 2001																																						

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

TOTAL AMOUNT OF PAYMENT (\$)  
746.00

Application Number  
Filing Date June 4, 2001  
First Named Inventor Hongjie Cao  
Examiner Name  
Group Art Unit  
Attorney Docket No. 1928.PC

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number 14-0455
- Deposit Account Name
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status See 37 CFR 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	201	710 355		Utility filing fee	710.00
106	206	320 160		Design filing fee	
107	207	490 245		Plant filing fee	
108	208	710 355		Reissue filing fee	
114	214	150 75		Provisional filing fee	

SUBTOTAL (1) (\$)  
710.00

### 2. EXTRA CLAIM FEES

Total Claims 22 -20\*\* = 2 X 36.00 = 36.00

Independent Claims 2 -3\*\* = 0 X 0 = 0

Multiple Dependent

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description
103	203	18 9		Claims in excess of 20
102	202	80 40		Independent claims in excess of 3
104	204	270 135		Multiple dependent claim, if not paid
109	209	80 40		** Reissue independent claims over original patent
110	210	18 9		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)  
36.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	205	130 65		Surcharge - late filing fee or oath	
127	227	50 25		Surcharge - late provisional filing fee or cover sheet	
139	139	130 130		Non-English specification	
147	147	2,520 2,520		For filing a request for ex parte reexamination	
112	112	920* 920*		Requesting publication of SIR prior to Examiner action	
113	113	1,840* 1,840*		Requesting publication of SIR after Examiner action	
115	115	110 55		Extension for reply within first month	
116	116	390 195		Extension for reply within second month	
117	117	890 445		Extension for reply within third month	
118	118	1,390 695		Extension for reply within fourth month	
128	128	1,890 945		Extension for reply within fifth month	
119	119	310 155		Notice of Appeal	
120	120	310 155		Filing a brief in support of an appeal	
121	121	270 135		Request for oral hearing	
138	138	1,510 1,510		Petition to institute a public use proceeding	
140	140	110 55		Petition to revive - unavoidable	
141	141	1,240 620		Petition to revive - unintentional	
142	142	1,240 620		Utility issue fee (or reissue)	
143	143	440 220		Design issue fee	
144	144	600 300		Plant issue fee	
122	122	130 130		Petitions to the Commissioner	
123	123	50 50		Processing fee under 37 CFR 1.17(q)	
126	126	180 180		Submission of Information Disclosure Stmt	
581	581	40 40		Recording each patent assignment per property (times number of properties)	
146	146	710 355		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	149	710 355		For each additional invention to be examined (37 CFR § 1.129(b))	
179	179	710 355		Request for Continued Examination (RCE)	
169	169	900 900		Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)	Registration No. (Attorney/Agent)	Telephone
Thomas F. Roland	42,110	908-685-5127
Signature	Date	
Thomas F. Roland	June 4, 2001	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.